

**UNITED STATES DISTRICT COURT**  
**CENTRAL DISTRICT OF CALIFORNIA (Western Division – Los Angeles)**  
**CIVIL DOCKET FOR CASE #: 2:20-cv-01484-MWF-KS**

Wilmington Savings Fund Society, FSB, v. Richard L. Dickson, et al  
Assigned to: Judge Michael W. Fitzgerald  
Referred to: Magistrate Judge Karen L. Stevenson  
Demand: \$9,999,000  
Related Case: 2:20-cv-01480-MWF-KS  
Cause: 28:1331 Fed. Question

Date Filed: 02/13/2020  
Date Terminated: 06/08/2020  
Jury Demand: Plaintiff  
Nature of Suit: 370 Other Fraud  
Jurisdiction: Federal Question

**Plaintiff**

**Wilmington Savings Fund Society, FSB**  
*as successor indenture trustee for the 6.875%  
Senior Notes due 2019, the 8.25% Senior Notes  
due 2019, and the 6.125% Senior Notes due  
2034 of Nine West Holdings, Inc.*

represented by **Allan B Diamond**  
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**PRO HAC VICE**  
**ATTORNEY TO BE NOTICED**

**Edward A Friedman**  
Friedman Kaplan Seiler and Adelman LLP  
7 Times Square  
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**PRO HAC VICE**  
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**Robert J Lack**  
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**PRO HAC VICE**  
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**Ryan M Lapine**  
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**ATTORNEY TO BE NOTICED**

V.

**Defendant**

**Richard L. Dickson**

**Defendant**

**Robert L. Mettler**

represented by **Jack P DiCanio**  
Skadden Arps Slate Meagher and Flom LLP  
300 South Grand Avenue Suite 3400  
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Email: jack.dicanio@skadden.com  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Defendant**

**Defendant CA-1**

*TERMINATED: 04/01/2020*

represented by **Jack P DiCanio**  
(See above for address)  
*LEAD ATTORNEY*  
*ATTORNEY TO BE NOTICED*

**Defendant**

**Defendant CA-2**

*TERMINATED: 04/01/2020*

**Defendant**

**Blue Cross of California**

**Defendant**

**Defendant CA-4**

*TERMINATED: 04/01/2020*

**Defendant**

**Defendant CA-5**

*TERMINATED: 04/01/2020*

**Defendant**

**Diversified Alpha Group Trust**

represented by **Anne Johnson Palmer**  
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415-315-6300  
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*ATTORNEY TO BE NOTICED*

**Defendant**

**Nicola Guarna**

represented by **Kaitlyn Beaudin**

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**Travis P Brennan**

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*ATTORNEY TO BE NOTICED*

**Defendant**

**Hawaii DE LLC**

**Defendant**

**George M. Klabin**

**Defendant**

**Litman Gregory Masters Alternative  
Strategies Fund**

**Defendant**

**Defendant CA-15**  
*TERMINATED: 04/01/2020*

**Defendant**

**Defendant CA-16**  
*TERMINATED: 04/01/2020*

**Defendant**

**Defendant CA-17**  
*TERMINATED: 04/01/2020*

**Defendant**

**PG&E Co. Nuclear Facilities Qualified  
CPUC Decommissioning Master Trust**

**Defendant**

**Research Affiliates Equity US Large, L.P.**  
*formerly known as*  
Enhanced Rafi US Large LP

**Defendant**

**Robert Rodriguez**

represented by **Kaitlyn Beaudin**  
(See above for address)  
*ATTORNEY TO BE NOTICED*

**Travis P Brennan**  
(See above for address)  
*ATTORNEY TO BE NOTICED*

**Defendant**

**Defendant CA-25**

*TERMINATED: 04/01/2020*

**Defendant**

**Vericimetry US Small Cap Value Fund**

**Defendant**

**Robert & Susan Mettler Family Trust U/A**  
**3/27/06**

**Defendant**

**Susan T Mettler**  
*Trustee*

**Defendant**

**Bam Advisor Services**  
*doing business as*  
Loring Ward

**Defendant**

**Blue Shield of California**

**Defendant**

**DAGT Small Cap Outliers**

**Defendant**

**Pacific Select Fund-PD Small-Cap Value**  
**Index Portfolio**

represented by **Anne Johnson Palmer**  
(See above for address)  
*ATTORNEY TO BE NOTICED*

**Defendant**

**Pacific Select Fund-Small-Cap Equity**  
**Portfolio**

represented by **Anne Johnson Palmer**  
(See above for address)  
*ATTORNEY TO BE NOTICED*

**Defendant**

**Pacific Select Fund-Small-Cap Index**

represented by **Anne Johnson Palmer**

**Portfolio**

(See above for address)

*ATTORNEY TO BE NOTICED***Defendant****SA U.S.Small Company Fund****Interested Party****State Street Bank and Trust Co.**

represented by **Christopher Thomas Casamassima**  
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 350 South Grand Avenue Suite 2100  
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 213-443-5374  
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*ATTORNEY TO BE NOTICED*

**Ross E Firsenbaum**  
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*PRO HAC VICE*  
*ATTORNEY TO BE NOTICED*

Date Filed	#	Docket Text
02/13/2020	<u>1</u>	COMPLAINT Receipt No: 0973-25326989 – Fee: \$400, filed by PLAINTIFF WILMINGTON SAVINGS FUND SOCIETY, FSB, as successor indenture trustee for the 6.875% Senior Notes due 2019, the 8.25% Senior Notes due 2019, and the 6.125% Senior Notes due 2034 of Nine. (Attorney Ryan M Lapine added to party WILMINGTON SAVINGS FUND SOCIETY, FSB, as successor indenture trustee for the 6.875% Senior Notes due 2019, the 8.25% Senior Notes due 2019, and the 6.125% Senior Notes due 2034 of Nine (pty:pla))(Lapine, Ryan) (Entered: 02/13/2020)
02/13/2020	<u>2</u>	CIVIL COVER SHEET filed by Plaintiff WILMINGTON SAVINGS FUND SOCIETY, FSB, as successor indenture trustee for the 6.875% Senior Notes due 2019, the 8.25% Senior Notes due 2019, and the 6.125% Senior Notes due 2034 of Nine. (Lapine, Ryan) (Entered: 02/13/2020)
02/13/2020	<u>3</u>	NOTICE of Interested Parties filed by PLAINTIFF WILMINGTON SAVINGS FUND SOCIETY, FSB, as successor indenture trustee for the 6.875% Senior Notes due 2019, the 8.25% Senior Notes due 2019, and the 6.125% Senior Notes due 2034 of Nine, (Lapine, Ryan) (Entered: 02/13/2020)
02/14/2020	<u>4</u>	NOTICE OF ASSIGNMENT to District Judge Fernando M. Olguin and Magistrate Judge Jean P. Rosenbluth. (esa) (Entered: 02/14/2020)
02/14/2020	<u>5</u>	NOTICE TO PARTIES OF COURT-DIRECTED ADR PROGRAM filed. (esa) (Entered: 02/14/2020)
02/14/2020	<u>6</u>	NOTICE OF PRO HAC VICE APPLICATION DUE for Non-Resident Attorney Edward A. Friedman. A document recently filed in this case lists you as an out-of-state attorney of record. However, the Court has not been able to locate any record that you are admitted to the Bar of this Court, and you have not filed an application to appear Pro Hac Vice in this case. Accordingly,

		within 5 business days of the date of this notice, you must either (1) have your local counsel file an application to appear Pro Hac Vice (Form G-64) and pay the applicable fee, or (2) complete the next section of this form and return it to the court at <a href="mailto:cacd_attyadm@cacd.uscourts.gov">cacd_attyadm@cacd.uscourts.gov</a> . You have been removed as counsel of record from the docket in this case, and you will not be added back to the docket until your Pro Hac Vice status has been resolved. (esa) (Entered: 02/14/2020)
02/14/2020	<u>7</u>	NOTICE OF PRO HAC VICE APPLICATION DUE for Non-Resident Attorney Robert J. Lack. A document recently filed in this case lists you as an out-of-state attorney of record. However, the Court has not been able to locate any record that you are admitted to the Bar of this Court, and you have not filed an application to appear Pro Hac Vice in this case. Accordingly, within 5 business days of the date of this notice, you must either (1) have your local counsel file an application to appear Pro Hac Vice (Form G-64) and pay the applicable fee, or (2) complete the next section of this form and return it to the court at <a href="mailto:cacd_attyadm@cacd.uscourts.gov">cacd_attyadm@cacd.uscourts.gov</a> . You have been removed as counsel of record from the docket in this case, and you will not be added back to the docket until your Pro Hac Vice status has been resolved. (esa) (Entered: 02/14/2020)
02/14/2020	<u>8</u>	NOTICE OF PRO HAC VICE APPLICATION DUE for Non-Resident Attorney Allan B. Diamond. A document recently filed in this case lists you as an out-of-state attorney of record. However, the Court has not been able to locate any record that you are admitted to the Bar of this Court, and you have not filed an application to appear Pro Hac Vice in this case. Accordingly, within 5 business days of the date of this notice, you must either (1) have your local counsel file an application to appear Pro Hac Vice (Form G-64) and pay the applicable fee, or (2) complete the next section of this form and return it to the court at <a href="mailto:cacd_attyadm@cacd.uscourts.gov">cacd_attyadm@cacd.uscourts.gov</a> . You have been removed as counsel of record from the docket in this case, and you will not be added back to the docket until your Pro Hac Vice status has been resolved. (esa) (Entered: 02/14/2020)
02/19/2020	<u>9</u>	APPLICATION of Non-Resident Attorney ALLAN B. DIAMOND to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25409030) filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> CERTIFICATE OF GOOD STANDING, # <u>2</u> Proposed Order ON APPLICATION OF NON-RESIDENT ATTORNEY TO APPEAR IN A SPECIFIC CASE PRO HAC VICE) (Lapine, Ryan) (Entered: 02/19/2020)
02/19/2020	<u>10</u>	APPLICATION of Non-Resident Attorney EDWARD A. FRIEDMAN to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25409154) filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> CERTIFICATE OF GOOD STANDING, # <u>2</u> Proposed Order ON APPLICATION OF NON-RESIDENT ATTORNEY TO APPEAR IN A SPECIFIC CASE PRO HAC VICE) (Lapine, Ryan) (Entered: 02/19/2020)
02/19/2020	<u>11</u>	APPLICATION of Non-Resident Attorney ROBERT J. LACK to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25409271) filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> CERTIFICATE OF GOOD STANDING NEW YORK, # <u>2</u> CERTIFICATE OF GOOD STANDING NEW JERSEY SUPREME COURT, # <u>3</u> Proposed Order ON APPLICATION OF NON-RESIDENT ATTORNEY TO APPEAR IN A SPECIFIC CASE PRO HAC VICE) (Lapine, Ryan) (Entered: 02/19/2020)
02/19/2020	<u>12</u>	APPLICATION to file document under seal filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Declaration OF PRIYANKA WITYK IN SUPPORT OF PLAINTIFF'S APPLICATION FOR LEAVE TO FILE THE COMPLAINT AND THE NOTICE OF INTERESTED PARTIES UNDER SEAL, # <u>2</u> Exhibit A, # <u>3</u> Exhibit B, # <u>4</u> Exhibit C, # <u>5</u> Exhibit D (REDACTED COMPLAINT), # <u>6</u> Exhibit E (REDACTED NOTICE OF INTERESTED PARTIES AND DISCLOSURE STATEMENT), # <u>7</u> Proposed Order)(Lapine, Ryan) (Entered: 02/19/2020)

02/19/2020	<u>13</u>	SEALED DECLARATION IN SUPPORT OF APPLICATION to file document under seal <u>12</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Unredacted Document COMPLAINT, # <u>2</u> Unredacted Document NOTICE OF INTERESTED PARTIES AND DISCLOSURE STATEMENT)(Lapine, Ryan) (Entered: 02/19/2020)
02/20/2020	<u>14</u>	NOTICE of Deficiency in Electronically Filed Pro Hac Vice Application RE: APPLICATION of Non-Resident Attorney ALLAN B. DIAMOND to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25409030) <u>9</u> , APPLICATION of Non-Resident Attorney EDWARD A. FRIEDMAN to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25409154) <u>10</u> , APPLICATION of Non-Resident Attorney ROBERT J. LACK to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25409271) <u>11</u> . The following error(s) was/were found: Local Rule 83-2.1.3.3(d) Certificate of Good Standing not attached for every state court listed to which the applicant has been admitted. Superseded version of Form G-64 used. Other error(s) with document(s): Doc no. 9 –Missing GSC for New York; Doc 10 – missing GSC for DC, unable to verify on DC Bar. (lom) (Entered: 02/20/2020)
02/24/2020	<u>15</u>	APPLICATION of Non-Resident Attorney Allan Brent Diamond to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25482706) filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order (Proposed) Order on Application of Non-Resident Attorney to Appear in a Specific Case Pro Hac Vice Allan B. Diamond) (Lapine, Ryan) (Entered: 02/24/2020)
02/24/2020	<u>16</u>	APPLICATION of Non-Resident Attorney Edward A. Friedman to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25482836) filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order (Proposed) Order on Application of Non-Resident Attorney to Appear in a Specific Case Pro Hac Vice Edward Friedman) (Lapine, Ryan) (Entered: 02/24/2020)
02/24/2020	<u>17</u>	APPLICATION of Non-Resident Attorney Robert J. Lack to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, FSB (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25482967) filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order (Proposed) Order on Application of Non-Resident Attorney to Appear in a Specific Case Pro Hac Vice Robert J. Lack) (Lapine, Ryan) (Entered: 02/24/2020)
02/24/2020	<u>18</u>	DECLARATION of Lara Samet Buchwald in Support of APPLICATION to file document under seal <u>12</u> <i>Declaration of Lara Samet Buchwald in Support of Plaintiff's Application for Leave to File the Complaint and Notice of Interested Parties and Disclosure Statement Under Seal</i> filed by Miscellaneous Merrill Lynch, Pierce, Fenner & Smith, Incorporated. (Attorney Neal Alan Potischman added to party Merrill Lynch, Pierce, Fenner & Smith, Incorporated(pty:misc))(Potischman, Neal) (Entered: 02/24/2020)
02/24/2020	<u>19</u>	Notice of Appearance or Withdrawal of Counsel: for attorney Christopher Thomas Casamassima counsel for Interested Party State Street Bank and Trust Co.. Adding Christopher T. Cassmasima as counsel of record for State Street Bank an Trust Co. for the reason indicated in the G-123 Notice. Filed by Interested Party State Street Bank and Trust Co.. (Attorney Christopher Thomas Casamassima added to party State Street Bank and Trust Co.(pty:ip))(Casamassima, Christopher) (Entered: 02/24/2020)
02/24/2020	<u>20</u>	CORPORATE DISCLOSURE STATEMENT <i>and NOTICE OF INTERESTED PARTIES</i> filed by Interested Party State Street Bank and Trust Co. identifying State Street Corporation as Corporate Parent. (Casamassima, Christopher) (Entered: 02/24/2020)
02/24/2020	<u>21</u>	



		SEALED DECLARATION IN SUPPORT OF APPLICATION to file document under seal <u>12</u> filed by Interested Party State Street Bank and Trust Co.. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Exhibit C)(Casamassima, Christopher) (Entered: 02/24/2020)
02/24/2020	<u>22</u>	APPLICATION of Non-Resident Attorney Ross E. Firsenbaum to Appear Pro Hac Vice on behalf of Interested Party State Street Bank and Trust Co. (Pro Hac Vice Fee – \$400 Fee Paid, Receipt No. ACACDC-25486941) filed by Interested Party State Street Bank and Trust Co.. (Attachments: # <u>1</u> Proposed Order On Application of Non-Resident Attorney to Appear in a Specific Case Pro Hac Vice) (Casamassima, Christopher) (Entered: 02/24/2020)
02/24/2020	<u>23</u>	CERTIFICATE OF SERVICE filed by Interested Party State Street Bank and Trust Co., re Sealed Declaration in SupportDeclaration <u>21</u> served on February 24, 2020. (Casamassima, Christopher) (Entered: 02/24/2020)
02/27/2020	<u>24</u>	Request for Clerk to Issue Summons on Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Supplement Attachment No. 1 to Summons, # <u>2</u> Supplement Attachment No. 2 to Summons, # <u>3</u> Supplement Attachment No. 3 to Summons, # <u>4</u> Supplement Attachment No. 4 to Summons)(Lapine, Ryan) (Entered: 02/27/2020)
02/28/2020	<u>25</u>	21 DAY Summons Issued re Complaint (Attorney Civil Case Opening),, <u>1</u> as to Defendant Blue Cross of California, Defendant CA-1, Defendant CA-15, Defendant CA-16, Defendant CA-17, Defendant CA-2, Defendant CA-25, Defendant CA-4, Defendant CA-5, Richard L. Dickson, Diversified Alpha Group Trust, Nicola Guarna, Hawaii DE LLC, George M. Klabin, Litman Gregory Masters Alternative Strategies Fund, Robert L. Mettler, PG&E Co. Nuclear Facilities Qualified CPUC Decommissioning Master Trust, Research Affiliates Equity US Large, L.P., Robert Rodriguez, Vericimetry US Small Cap Value Fund. (iv) (Entered: 02/28/2020)
03/04/2020	<u>26</u>	ORDER by Judge Fernando M. Olguin: granting <u>22</u> Non-Resident Attorney Ross E Firsenbaum APPLICATION to Appear Pro Hac Vice on behalf of State Street Bank and Trust Co., designating Christopher Thomas Casamassima as local counsel. (lom) (Entered: 03/04/2020)
03/04/2020	<u>27</u>	ORDER RE TRANSFER PURSUANT TO GENERAL ORDER 19-03-Related Case- filed. Related Case No: 2:20-cv-01480 MWF(KSx). Case transferred from Judge Fernando M. Olguin and Magistrate Judge Jean P. Rosenbluth to Judge Michael W. Fitzgerald and Magistrate Judge Karen L. Stevenson for all further proceedings. The case number will now reflect the initials of the transferee Judge 2:20-cv-01484 MWF(KSx). Signed by Judge Michael W. Fitzgerald (rn) (Entered: 03/04/2020)
03/09/2020	<u>28</u>	ORDER by Judge Michael W. Fitzgerald: Granting Application of Non-Resident Attorney Allan B. Diamond to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, designating Ryan M. Lapine as local counsel <u>15</u> . (iv) (Entered: 03/09/2020)
03/09/2020	<u>29</u>	ORDER by Judge Michael W. Fitzgerald: Granting Application of Non-Resident Attorney Edward A. Friedman to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, designating Ryan M. Lapine as local counsel <u>16</u> . (iv) (Entered: 03/09/2020)
03/09/2020	<u>30</u>	ORDER by Judge Michael W. Fitzgerald: Granting Application of Non-Resident Attorney Robert J. Lack to Appear Pro Hac Vice on behalf of Plaintiff Wilmington Savings Fund Society, designating Ryan M. Lapine as local counsel <u>17</u> . (iv) (Entered: 03/09/2020)
03/12/2020	<u>31</u>	NOTICE of Change of Attorney Business or Contact Information: for attorney Ryan M Lapine counsel for Plaintiff Wilmington Savings Fund Society, FSB. Changing address to 333 South Hope Street, Suite 4050, Los Angeles, California 90071. Filed by Plaintiff Wilmington Savings Fund Society, FSB. (Lapine, Ryan) (Entered: 03/12/2020)
03/17/2020	<u>32</u>	MINUTES (IN CHAMBERS) ORDER GRANTING IN PART AND DENYING IN PART APPLICATION TO FILE THE COMPLAINT AND NOTICE OF INTERESTED PARTIES



		UNDER SEAL <u>12</u> by Judge Michael W. Fitzgerald. The Application is GRANTED in part and DENIED in part without prejudice. The Court will keep the unredacted Complaint and Notice of Interested Parties under seal until March 31, 2020. Plaintiff shall serve this order on the remaining Designating Parties and must serve proof of its service by March 24, 2020. By March 31, 2020, the remaining Designating Parties shall make a further showing of the need for sealing the requested documents or consent to the filing of their designated information on the public docket. (iv) (Entered: 03/18/2020)
03/19/2020	<u>33</u>	PROOF OF SERVICE filed by Plaintiff Wilmington Savings Fund Society, FSB, re Order on Motion for Leave to File Document Under Seal,, <u>32</u> served on 3-18-2020. (Lapine, Ryan) (Entered: 03/19/2020)
03/19/2020	<u>34</u>	STIPULATION for Extension of Time to File Answer to 5/18/2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order EXTENDING TIME TO RESPOND TO COMPLAINT BY DIVERSIFIED ALPHA GROUP TRUST)(Lapine, Ryan) (Entered: 03/19/2020)
03/19/2020	<u>35</u>	STIPULATION for Extension of Time to File Answer to 5/18/2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order EXTENDING TIME TO RESPOND TO COMPLAINT BY VERICIMETRY US SMALL CAP VALUE FUND)(Lapine, Ryan) (Entered: 03/19/2020)
03/20/2020	<u>36</u>	Notice of Appearance or Withdrawal of Counsel: for attorney Jack P DiCanio counsel for Defendants Defendant CA-1, Robert L. Mettler. Adding Jack P. DiCanio as counsel of record for CA-1 and Robert L. Mettler for the reason indicated in the G-123 Notice. Filed by Defendants CA-1 and Robert L. Mettler. (Attorney Jack P DiCanio added to party Defendant CA-1(pty:dft), Attorney Jack P DiCanio added to party Robert L. Mettler(pty:dft))(DiCanio, Jack) (Entered: 03/20/2020)
03/20/2020	<u>37</u>	NOTICE of Interested Parties filed by Robert L. Mettler Defendant CA-1, Robert L. Mettler, identifying National Union Fire Insurance Company of Pittsburgh, Pa.; Westchester Fire Insurance Company; Alterra America Insurance Company; Illinois National Insurance Company. (DiCanio, Jack) (Entered: 03/20/2020)
03/20/2020	<u>38</u>	CORPORATE DISCLOSURE STATEMENT filed by Defendant Defendant CA-1 (DiCanio, Jack) (Entered: 03/20/2020)
03/20/2020	<u>39</u>	STIPULATION for Extension of Time to File Answer to 5/18/2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order EXTENDING TIME TO RESPOND TO COMPLAINT BY DEFENDANT ROBERT L. METTLER, DEFENDANT CA-1, THE ROBERT & SUSAN METTLER FAMILY TRUST U/A 3/27/06, AND ROBERT L. METTLER, SUSAN T. METTLER, TRUSTEES)(Lapine, Ryan) (Entered: 03/20/2020)
03/20/2020	<u>40</u>	STIPULATION for Extension of Time to File Answer to 5/18/2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order EXTENDING TIME TO RESPOND TO COMPLAINT BY DEFENDANT RESEARCH AFFILIATES EQUITY US LARGE, L.P. F/K/A ENHANCED RAFI US LARGE LP)(Lapine, Ryan) (Entered: 03/20/2020)
03/20/2020	<u>41</u>	STIPULATION for Extension of Time to File Answer to 5/18/2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by PLAINTIFF Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order EXTENDING TIME TO RESPOND TO COMPLAINT BY DEFENDANTS NICOLA GUARNA AND ROBERT RODRIGUEZ)(Lapine, Ryan) (Entered: 03/20/2020)
03/20/2020	<u>42</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>34</u> by Judge Michael W. Fitzgerald. Diversified Alpha Group Trust shall have until May 18, 2020 to respond to the

		complaint in this matter. (iv) (Entered: 03/23/2020)
03/20/2020	<u>43</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>35</u> by Judge Michael W. Fitzgerald. Vericimetry US Small Cap Value Fund shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 03/23/2020)
03/23/2020	<u>44</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>39</u> by Judge Michael W. Fitzgerald. Robert L. Mettler and Defendant CA-1 shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 03/23/2020)
03/23/2020	<u>45</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>40</u> by Judge Michael W. Fitzgerald. Research Affiliates Equity US Large, L.P. f/k/a Enhanced RAFI US Large LP shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 03/23/2020)
03/23/2020	<u>46</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>41</u> by Judge Michael W. Fitzgerald. Nicola Guama and Robert Rodriguez shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 03/23/2020)
03/24/2020	<u>47</u>	STIPULATION for Extension of Time to File Answer to 05-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by George M. Klabin)(Lapine, Ryan) (Entered: 03/24/2020)
03/24/2020	<u>48</u>	STIPULATION for Extension of Time to File Answer to 05-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Litman Gregory Masters Alternative Strategies Fund)(Lapine, Ryan) (Entered: 03/24/2020)
03/25/2020	<u>49</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by BAM Advisor Services d/b/a Loring Ward)(Lapine, Ryan) (Entered: 03/25/2020)
03/25/2020	<u>50</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Hawaii DE LLC)(Lapine, Ryan) (Entered: 03/25/2020)
03/25/2020	<u>51</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by SA U.S. Small Company Fund)(Lapine, Ryan) (Entered: 03/25/2020)
03/25/2020	<u>52</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>47</u> by Judge Michael W. Fitzgerald. George M. Klabin shall have until May 18, 2020 to respond to the complaint in this matter. (iv) Modified on 3/26/2020 (smom). (Entered: 03/26/2020)
03/25/2020	<u>53</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>48</u> by Judge Michael W. Fitzgerald. Litman Gregory Masters Alternative Strategies Fund shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 03/26/2020)
03/26/2020	<u>54</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Blue Shield of California)(Lapine, Ryan) (Entered: 03/26/2020)
03/26/2020	<u>55</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>50</u> by Judge Michael W. Fitzgerald. Hawaii DE LLC shall have until May 18, 2020 to respond to the complaint in this

		matter. (iv) (Entered: 03/26/2020)
04/01/2020	<u>56</u>	NOTICE of Plaintiffs Motion Filed With United States Judicial Panel on Multidistrict Litigation for Transfer of Actions to the District of Massachusetts Pursuant to 28 U.S.C. § 1407 for Coordinated or Consolidated Pretrial Proceedings filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Exhibit Motion for Transfer, # <u>2</u> Exhibit Brief in Support of the Motion for Transfer, # <u>3</u> Exhibit Schedule of Actions, # <u>4</u> Exhibit Declaration of Priyanka Wityk in Support of the Motion for Transfer, # <u>5</u> Exhibit Docket sheets and complaints in the Actions, # <u>6</u> Exhibit Proof of Service of the Motion for Transfer)(Lapine, Ryan) (Entered: 04/01/2020)
04/01/2020	<u>57</u>	ORDER by Judge Michael W. Fitzgerald. On 3/17/2020, the Court issued an Order Granting in Part and Denying in Part Application to File the Complaint and Notice of Interested Parties Under Seal (the "Order") <u>32</u> . The Order provided that the remaining Designating Parties make a further showing of the need for sealing portions of the Complaint and the Notice of Interested Parties by 3/31/2020, or consent to the filing of their designated information on the public docket. No Designating Parties have made such a showing as of 4/1/2020. Accordingly, Plaintiff is ORDERED to publicly file a Complaint and Notice of Interested Parties by no later than 4/8/2020. The publicly filed Complaint and Notice of Interested Parties shall only redact information the Court has approved to be filed under seal in its previous Order. THERE IS NO PDF DOCUMENT ASSOCIATED WITH THIS ENTRY. (smom) TEXT ONLY ENTRY (Entered: 04/01/2020)
04/01/2020	<u>58</u>	NOTICE re Filing of Unredacted Complaint and Notice of Interested Parties filed by Plaintiff Wilmington Savings Fund Society, FSB. (Lapine, Ryan) (Entered: 04/01/2020)
04/01/2020	<u>59</u>	UNREDACTED COMPLAINT Re: Complaint <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB re: Notice (Other) <u>58</u> , Text Only Scheduling Notice,,, <u>57</u> (Lapine, Ryan) Modified on 4/2/2020 (iv). (Entered: 04/01/2020)
04/01/2020	<u>60</u>	Unredacted Notice of Interested Parties filed by Plaintiff Wilmington Savings Fund Society, FSB re: Notice (Other) <u>58</u> , Text Only Scheduling Notice,,, <u>57</u> (Lapine, Ryan) (Entered: 04/01/2020)
04/02/2020	<u>61</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>49</u> by Judge Michael W. Fitzgerald. BAM Advisor Services d/b/a Loring Ward shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 04/02/2020)
04/02/2020	<u>62</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>51</u> by Judge Michael W. Fitzgerald. SA U.S. Small Company Fund shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 04/02/2020)
04/02/2020	<u>63</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>54</u> by Judge Michael W. Fitzgerald. Blue Shield of California shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 04/02/2020)
04/06/2020	<u>64</u>	STIPULATION for Extension of Time to File Answer to 5–18–2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Pacific Gas and Electric Co.)(Lapine, Ryan) (Entered: 04/06/2020)
04/07/2020	<u>65</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>64</u> by Judge Michael W. Fitzgerald. PG&E Co. Nuclear Facilities Qualified CPUC Decommissioning Master Trust shall have until May 18, 2020 to respond to the complaint in this matter. (iv) (Entered: 04/07/2020)
04/10/2020	<u>66</u>	Notice of Appearance or Withdrawal of Counsel: for attorney Kaitlyn Beaudin counsel for Defendants Nicola Guarna, Robert Rodriguez. Adding Katie Beaudin as counsel of record for Nicola Guarna and Robert Rodriguez for the reason indicated in the G–123 Notice. Filed by Defendants Nicola Guarna and Robert Rodriguez. (Attorney Kaitlyn Beaudin added to party Nicola Guarna(pty:dft), Attorney Kaitlyn Beaudin added to party Robert Rodriguez(pty:dft))(Beaudin,

		Kaitlyn) (Entered: 04/10/2020)
04/10/2020	<u>67</u>	Notice of Appearance or Withdrawal of Counsel: for attorney Travis P Brennan counsel for Defendants Nicola Guarna, Robert Rodriguez. Adding Travis P. Brennan as counsel of record for Nicola Guarna and Robert Rodriguez for the reason indicated in the G-123 Notice. Filed by Defendants Nicola Guarna and Robert Rodriguez. (Attorney Travis P Brennan added to party Nicola Guarna(pty:dft), Attorney Travis P Brennan added to party Robert Rodriguez(pty:dft))(Brennan, Travis) (Entered: 04/10/2020)
04/15/2020	<u>68</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Pacific Select Fund-PD Small-Cap Value Index Portfolio)(Lapine, Ryan) (Entered: 04/15/2020)
04/15/2020	<u>69</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Pacific Select Fund-Small-Cap Equity Portfolio)(Lapine, Ryan) (Entered: 04/15/2020)
04/15/2020	<u>70</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Pacific Select Fund-Small-Cap Index Portfolio)(Lapine, Ryan) (Entered: 04/15/2020)
04/15/2020	<u>71</u>	STIPULATION for Extension of Time to File Answer to 5-18-2020 re Complaint (Attorney Civil Case Opening),, <u>1</u> filed by Plaintiff Wilmington Savings Fund Society, FSB. (Attachments: # <u>1</u> Proposed Order Extending Time to Respond to Complaint by Pacific Select Fund-Small-Cap Index Portfolio)(Lapine, Ryan) (Entered: 04/15/2020)
04/15/2020	<u>72</u>	NOTICE OF ERRATA filed by Plaintiff Wilmington Savings Fund Society, FSB. correcting Stipulation to Extend Time to Answer (More than 30 days), <u>71</u> (Lapine, Ryan) (Entered: 04/15/2020)
04/16/2020	<u>73</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>71</u> by Judge Michael W. Fitzgerald. It is hereby ordered that Pacific Select Fund-PD Small-Cap Value Index Portfolio shall have until May 18, 2020 to respond to the complaint in this matter. (lom) (Entered: 04/16/2020)
04/16/2020	<u>74</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>69</u> by Judge Michael W. Fitzgerald. It is hereby ordered that Pacific Select Fund-Small-Cap Equity Portfolio shall have until May 18, 2020 to respond to the complaint in this matter. (lom) (Entered: 04/16/2020)
04/16/2020	<u>75</u>	ORDER EXTENDING TIME TO RESPOND TO COMPLAINT <u>70</u> by Judge Michael W. Fitzgerald. It is hereby ordered that Pacific Select Fund-Small-Cap Index Portfolio shall have until May 18, 2020 to respond to the complaint in this matter. (lom) (Entered: 04/16/2020)
05/08/2020	<u>76</u>	Notice of Appearance or Withdrawal of Counsel: for attorney Anne Johnson Palmer counsel for Defendants Diversified Alpha Group Trust, Pacific Select Fund-PD Small-Cap Value Index Portfolio, Pacific Select Fund-Small-Cap Equity Portfolio, Pacific Select Fund-Small-Cap Index Portfolio. Adding Anne Johnson Palmer as counsel of record for Diversified Alpha Group Trust, Pacific Select Fund PD Small-Cap Value Index Portfolio, Pacific Select Fund Small-Cap Equity Portfolio, and Pacific Select Fund Small-Cap Index Portfolio for the reason indicated in the G-123 Notice. Filed by Defendants Diversified Alpha Group Trust, Pacific Select Fund PD Small-Cap Value Index Portfolio, Pacific Select Fund Small-Cap Equity Portfolio, and Pacific Select Fund Small-Cap Index Portfolio. (Attorney Anne Johnson Palmer added to party Diversified Alpha Group Trust(pty:dft), Attorney Anne Johnson Palmer added to party Pacific Select Fund-PD Small-Cap Value Index Portfolio(pty:dft), Attorney Anne Johnson Palmer added to party Pacific Select Fund-Small-Cap Equity Portfolio(pty:dft), Attorney Anne Johnson Palmer added to party

		Pacific Select Fund–Small–Cap Index Portfolio(pty:dft))(Palmer, Anne) (Entered: 05/08/2020)
05/08/2020	<u>77</u>	Joint NOTICE OF MOTION AND MOTION to Stay Case pending (Partially) Proceedings Until June 30, 2020 filed by Defendants Diversified Alpha Group Trust, Pacific Select Fund–PD Small–Cap Value Index Portfolio, Pacific Select Fund–Small–Cap Equity Portfolio, Pacific Select Fund–Small–Cap Index Portfolio. Motion set for hearing on 6/8/2020 at 10:00 AM before Judge Michael W. Fitzgerald. (Attachments: # <u>1</u> Proposed Order) (Palmer, Anne) (Entered: 05/08/2020)
05/11/2020	<u>78</u>	ORDER GRANTING JOINT MOTION TO PARTIALLY STAY PROCEEDINGS TO JUNE 30, 2020 <u>77</u> by Judge Michael W. Fitzgerald. The Motion is GRANTED and the hearing noticed for June 8, 2020 is VACATED. (iv) (Entered: 05/11/2020)
05/12/2020	<u>79</u>	CERTIFICATE OF SERVICE filed by Defendants Diversified Alpha Group Trust, Pacific Select Fund–PD Small–Cap Value Index Portfolio, Pacific Select Fund–Small–Cap Equity Portfolio, Pacific Select Fund–Small–Cap Index Portfolio, re Joint NOTICE OF MOTION AND MOTION to Stay Case pending (Partially) Proceedings Until June 30, 2020 <u>77</u> served on May 11, 2020 and May 12, 2020. (Palmer, Anne) (Entered: 05/12/2020)
05/18/2020	<u>80</u>	NOTICE of Interested Parties filed by Defendant Diversified Alpha Group Trust, Pacific Select Fund–PD Small–Cap Value Index Portfolio, Pacific Select Fund–Small–Cap Equity Portfolio, Pacific Select Fund–Small–Cap Index Portfolio, (Palmer, Anne) (Entered: 05/18/2020)
05/19/2020	<u>81</u>	CERTIFICATE OF SERVICE filed by Defendants Diversified Alpha Group Trust, Pacific Select Fund–PD Small–Cap Value Index Portfolio, Pacific Select Fund–Small–Cap Equity Portfolio, Pacific Select Fund–Small–Cap Index Portfolio, re Certificate/Notice of Interested Parties, <u>80</u> served on Certification and Notice of Interested Parties. (Palmer, Anne) (Entered: 05/19/2020)
06/08/2020	<u>82</u>	Transfer Order from the United States Judicial Panel on Multidistrict Litigation, MDL 2941, transferring case to USDC, Southern District of New York and assigned to Honorable Jed S. Rakoff. Case transferred electronically. (MD JS–6. Case Terminated.) (lom) (Entered: 06/08/2020)